

INDIAN AFFAIRS

CONTINGENCY PLAN



December 2011

Approval

This plan serves as the Contingency Plan plan for the Indian Affairs (IA), including the Office of the Assistant Secretary – Indian Affairs, Bureau of Indian Affairs (BIA) and the Bureau of Indian Education (BIE).

Submitted by: _____ Date: _____
Chief of Staff,
Assistant Secretary – Indian Affairs

Concurred by: _____ Date: _____
Director, Bureau of Indian Affairs

Concurred by: _____ Date: _____
Director, Bureau of Indian Education

Concurred by: _____ Date: _____
Deputy Assistant Secretary- Management

Concurred by: _____ Date: _____
Principal Deputy Assistant Secretary-
Indian Affairs

I hereby approve this Continuity Plan which defines how the conduct of essential functions of Indian Affairs will be performed in the event of lapse in appropriations, which prevents normal operations.

Approved by: _____ Date: _____
Assistant Secretary-Indian Affairs

Executive Summary

In the event that a funding measure is not enacted, Indian Affairs needs to prepare for a lapse in appropriations and as such has created a Contingency Plan for essential operations. The Plan:

- Provides planning guidance for the following offices: AS-IA; the Bureau of Indian Affairs (BIA); and the Bureau of Indian Education (BIE).
- Provides operational direction for the AS-IA/BIA/BIE Contingency Plan team.
- Identifies the Essential personnel and the personnel that would be able to continue operations with non-appropriated funds.

The Plan is supported by contingency capabilities at BIA and BIE organizational levels. Each Bureau Director has concurred with the Plan in the event of a lapse in appropriations.

Denoted below is a summary of the Indian Affairs organizations (by total employees) should the respective Contingency Plan(s) be effected.

Office	Employees on Board	RETAINED				Subject to Furlough [On Call]
		Law Enforcement	Funded by Other than Annual Appropriations	Protection of Life and Property	Total During Contingency	
ASIA	260			80 [19]	80 [19]	180 [19]
BIA	4,529	609	361	395 [140]	1,365 [140]	3,164 [140]
BIE	4,238		3,922	54 [59]	3,976 [59]	262 [59]
Total	9,027	609	4,283	529 [218]	5,421 [218]	3,606 [218]

Denoted below is the breakout of ASIA employees in the event the Plan is activated. Total encumbered employees is 260 as of mid-March, 2011. Under the Plan, a total of 79 employees funded by annual appropriations have been identified to be on duty as Essential. A total of 181 employees would be subject to furlough status, including 19 employees categorized as On Call.

Office/Location	Employees on Board	Protection of Life and Property	Funded by Other than Annual Appropriations	Total During Contingency	Subject to Furlough [On Call]
Immediate Office of the Assistant Secretary	260	4 [2]		4 [2]	181 [19]
Public Affairs		1 [1]		1 [1]	
Self Governance		2		2	

Office/Location	Employees on Board	Protection of Life and Property	Funded by Other than Annual Appropriations	Total During Contingency	Subject to Furlough [On Call]
Deputy Assistant Secretary – Mgmt		2		2	
OHCM		7		7	
OHSES		3		3	
OCIO		22		22	
OCFO		16		16	
		[16]		[16]	
OFECR		3		3	
OFMC		20		20	
Total	260	80		80	180
		[19]		[19]	[19]

Estimate of the time to complete the shutdown: For all three organizations, it is estimated a half day (4 hours) will be required to effect the Plan on day 1.

Overview

The purpose of the AS-IA Contingency Plan is to guarantee the continuous performance of essential functions, ensure continued leadership of AS-IA, BIA, and BIE and provide for an orderly means of addressing problems and keeping essential operations running smoothly. To do so, AS-IA has incorporated the following key continuity concepts into operational procedures to ensure a robust continuity capability exists:

- AS-IA essential functions
- Clear lines of authority
- Necessary communications capabilities

The Plan encompasses Indian Affairs offices regardless of physical location. It also encompasses all resources and capabilities that will be used in support of the Contingency mission such as other AS-IA and Bureau facilities, personnel, or communications infrastructure needed to support such essential operations.

Essential Personnel

The Plan prioritizes Essential Personnel into the following two categories: Protection of Human Life and Protection of Property. These personnel are the minimum required to enable the AS-IA to provide vital services, exercise civil authority, and maintain the safety of the general public.

Essential Functions

Essential Functions

Coordinate emergency response activities on tribal and allotted lands.

Coordinate critical services that address health and safety of tribes and IA employees.

Essential Functions

Manage and coordinate allegations of child abuse.

Coordinate law enforcement and detention operations on Indian lands under Federal jurisdiction, coordinate Tribal law enforcement activities, and enforcement of Federal laws.

Protect Federal facilities and infrastructure.

Essential Support Activities

In addition to Essential Functions, there are certain activities that must be continued to ensure those functions can be performed. Essential Support Activities are those things that are not Essential Functions, but are necessary to enable the execution of Essential Functions by designated Essential personnel.

Essential Support Activities

Essential Support Activities

Provide acquisition and logistics support for essential personnel.

Communicate with AS-IA employees, providing information on the status of operations.

Operate and maintain facilities for the health and safety of Federal employees and the protection of property.

Account for status of the workforce and recall employees to duty, as required.

Provide communications and the information technology service that allows the function.

Coordinate information about the status of appropriations.

Responsibilities

Assistant Secretary- Indian Affairs

The Assistant Secretary- Indian Affairs (AS-IA):

- The Chief of Staff to the Assistant Secretary will ensure the adequacy of the Plan and be the primary liaison to the Department and implement any changes to the Plan.

Deputy Assistant Secretary – Management

The Deputy Assistant Secretary – Management (DASM) is responsible for the following:

- Executes essential functions related to DASM programs., including Budget, IT, Financial Systems and Emergency Management.

AS-IA Chief Information Officer

The Chief Information Officer (CIO) is responsible for the following:

- Supports the Secretary of the Interior and AS-IA through the implementation of telecommunications and network services.
- Maintains network support and server infrastructure for AS-IA.
- Provides technical assistance to AS-IA offices and Bureaus.

Director, Office of Human Capital Management (OHCM) (this would be short term)

The Director, OHCM, has the following responsibilities:

- Effect furlough procedures.
- Provide an employee FAQs (informational bulletin) to be distributed via e-mail and posted on the BIA Website to answer Plan related questions.

Director, Office of Budget

The Director, Office of Budget has the following responsibilities:

- Provide budget briefings and manage budget activities.
- Identify continuity funding for the Indian Affairs leadership determination.

Directors, BIA and BIE

The Heads of Bureaus are responsible for effective management and execution of Essential Personnel/Functions within their respective Bureaus and the coordination of such with the Chief of Staff. In line with this function, the Directors of BIA and BIE:

- Ensure readiness of the Bureau to implement its Bureau specific Contingency Plan.
- Ensure assigned personnel execute the Plan responsibilities, if effected.
- Provide Contingency policy advice.

AS-IA Contingency Team Members

AS-IA Contingency Team Members bear the overall responsibility for maintaining the Department's essential functions during Contingency operations. Contingency Team members are as follows:

- Assistant Secretary – Indian Affairs
- Chief of Staff
- Principal Deputy Assistant Secretary – Indian Affairs
- Deputy Assistant Secretary – Management
- Director, Bureau of Indian Affairs
- Director, Bureau of Indian Education

Alert and Notification

If the Plan is activated, notification will be communicated to all employees by internal telephone tree (specific to each office), e-mail and/or website posting. The Chief of Staff will implement the notification procedures.

Attachment(s):

1. List of AS-IA Essential Employees
2. BIA Contingency Plan
3. BIE Contingency Plan

ATTACHMENT 1

Assistant Secretary – Indian Affairs Essential Personnel

Office	Title
ASIA Immediate Office	Assistant Secretary – Indian Affairs
	Chief of Staff
	Principal Deputy Assistant Secretary – Indian Affairs
	Support Staff
Office of Public Affairs	Director, Public Affairs
Office of Self-Governance	Director
	Finance Manager

ASIA IMMEDIATE OFFICE

Key top leadership of ASIA are deemed essential employees should the Plan be effected.

The Assistant Secretary – Indian Affairs provides overall leadership and direction for all organizational components of Indian Affairs nationwide. As a Senate-confirmed appointee this position is essential. This position dictates when the Plan will go into effect and any modifications to it during its implementation and execution.

The Chief of Staff executes the daily administrative responsibilities for the Assistant Secretary and the immediate Office on the whole. This position is responsible for ensuring the implementation and execution of the Plan on a nationwide basis in addition to ensuring the conduct of essential duties and responsibilities.

The Principal Deputy Assistant Secretary – Indian Affairs is responsible for advising the Assistant Secretary on policy matters, including position(s) on litigation matters, which may arise during the effect of the Plan. This position serves as the expert policy counsel on these matters.

ASIA AUXILIARY OFFICE(S)

Office of Public Affairs

The Public Affairs Officer will execute the communication plan for Indian Affairs, including responding to external media inquiries and assisting with keeping employees updated on the status of appropriations should the Plan be effected.

Office of Self Governance

The Director, Office of Self Governance, will handle all inquiries and provide updates to the tribes with self governance compacts on a nationwide basis as this office is the Assistant Secretary’s point of contact for all self governance compact issues. The Financial Manager will oversee the stand alone financial software that provides status of obligations to allow reports to be submitted as necessary and respond to tribal inquiries should the Plan be effected.

ASIA OFFICES WITH NO DESIGNATED ESSENTIAL EMPLOYEES

- Office of Federal Acknowledgment
- Office of Congressional Affairs
- Office of Indian Gaming
- Office of Indian Energy and Economic Development
- Office of Regulatory Affairs and Collaborative Action
- Office of Internal Evaluation and Assessment
- PPA Office
- FOIA Office & Correspondence Section

**Deputy Assistant Secretary – Management (DASM)
Essential Personnel Plan**

DASM Immediate Office

Division/Branch	Title/Function
DASM	DASM
DASM	Administrative Officer

Office of Human Capital Management

Division/Branch	Title/Function
Washington, DC	Director, OHCM
Washington, DC/Reston, VA	Personnel Specialist
	Personnel Assistant
Anadarko, OK	HR Specialist (Classification/Pay Issues)
	HR Specialist
Albuquerque, NM	BIE Personnel

Office of Homeland Security and Emergency Services

Division/Branch	Title/Function
OHSES	Director
	Emergency Management Coordinator
	Hazards Coordinator

Office of the Chief Information Officer

Division/Branch	Title/Function
IT Oversight and Program Support	Acting, CIO land mobile radio Information Operations (Albq)
Data Center and Enterprise Services (e-mail, network, and servers)	IT security E-mail MIB servers ABQ servers Database admin Telecom
Field Support	Southern Plains Southwest Eastern Oklahoma Navajo Eastern Alaska Western Great Plains Northwest Pacific Rocky Mountain Washington, DC Midwest

Office of the Chief Financial Officer

Division/Branch	Title/Function
CFO Immediate Office	Chief Financial Officer Chief of Staff
Budget Division NOTE: Budget can process all transactions centrally – regional staff not required	Budget Manager Budget Analyst Budget Analyst

Division/Branch	Title/Function
Acquisitions & Property Management Division	A & P M Manager Property Acquisitions Acquisitions
Financial Systems Division	Financial Systems Manager FFS Security
Financial Reporting & Analysis Division	SDS Transactions Obligations/P.L. 93-638 payments
Fiscal Services Division	Non-638 Payments

Office of Facilities, Environmental and Cultural Resources

Division/Branch	Title/Function
OFECR	Director
DSRM	Chief
DECRM	Division Chief

Office of Facilities Management and Construction

Division/Branch	Title
Office of the Deputy Director	Deputy Director Secretary
Office of the Deputy Director/ Branch of Audit and Administration	Supervisory Program Analyst
Office of the Deputy Director/ Budget	Budget Analyst
Office of the Deputy Director/ Branch of Special Programs	Supervisory Facilities Management Specialist
Division of Planning	Acting Division Chief
Division of Design and Construction	Acting Division Chief
	Electrical Engineer
	Architect
	Grants Manager
Division of Operations and Maintenance	Supervisory Facilities Management Specialist
Field Support	Eastern Eastern Oklahoma/So.Plains Great Plains Midwest

Division/Branch	Title
	Navajo Northwest Rocky Mountain Southwest Western